

<u>Form No.</u>	<u>Form Dated</u>	<u>Comments</u>
451	5/74	Directions for Completing Form 45, Fitness Report
45	9/73	Fitness Report
45A	9/73	Fitness Report - Field Transmittal
451	9/73	Directions for Completing Forms 45, 45k and 45m, Fitness Report
45k	9/73	Fitness Report (white with blue ink)
45m	9/73	Fitness Report (white with red ink)
45N	9/73	Fitness Report (overseas use only)
45A	3/73	Fitness Report - Field Transmittal
45N	3/73	Fitness Report (overseas use only)
45	8/72	Fitness Report
451	8/72	Directions for Completing Forms 45, 45k and 45m, Fitness Report
45k	8/72	Fitness Report (blue)
45m	8/72	Fitness Report (pink)
451	4/70	Directions for Completing Form 45, Fitness Report
45	7/69	Fitness Report
451	7/69	Directions for Completing Form 45, Fitness Report
451	3/66	Directions for Completing Form 45, Fitness Report
45	4/65	Fitness Report
451	1/64	Directions for Completing Form 45, Fitness Report
451	3/63	Directions for Completing Form 45, Fitness Report
No No.	No Date	Directions for Completing Form 45, Fitness Report
45	4/62	Fitness Report
45a	4/62	Field Transmittal - Fitness Report
No No.	No Date	Instruction Sheet - Fitness Report, Form No. 45
45	8/58	Fitness Report
45a	8/58	Field Transmittal - Fitness Report
No No.	No Date	Directions for Completing Form 45, Fitness Report
45	6/58	Fitness Report
No No.	No Date	Directions for Completing Form 45, Fitness Report
45	3/58	Fitness Report
45 Pts I&II	1Nov55	Fitness Report
45a	1Nov55	Field Transmittal - Fitness Report
45 Pts I&II	1Aug55	Fitness Report
45	1Jan55	Fitness Report
No No.	No Date	Instructions for Preparation of Fitness Reports (Abt Oct 54)
45	1Oct54	Fitness Report
45b	1Aug54	Fitness Report Questionnaire
45a	1Jul54	Field Fitness Report Transmittal Sheet and Field Fitness Report - both designated 45a
37-189	1May54	Fitness Report
37-189	1Mar54	Career Selection Report
37-151A	9/52	Routing and Action Slip for Personnel Evaluation Report
37-151	5/52	Personnel Evaluation Report (with Instruction Sheet)
51-53	12/47	Status and Efficiency Report
No No.	No Date	Status and Efficiency Report (covering period 1950-Feb53)
55-2	4/47	Status and Efficiency Report

ADMINISTRATIVE INTERNAL USE ONLY

## DIRECTIONS FOR COMPLETING FORM 45, FITNESS REPORT

**SPECIAL NOTE: THIS FORM DOES NOT CONTAIN A PREPRINTED SECURITY CLASSIFICATION. SUPERVISOR SHALL DETERMINE CLASSIFICATION BASED ON DATA CONTAINED IN THE COMPLETED FITNESS REPORT. IF THE COMPLETED REPORT IS UNCLASSIFIED, PLEASE OBLITERATE EXEMPT MARKINGS ON THE BOTTOM RIGHT CORNER OF THE REPORT.**

## 1. POLICY

It is Organization policy to inform employees of the effectiveness of their work performance. Organization policy also requires that supervisors record at least once each year their opinions and evaluations of the work performance of employees under their jurisdiction. Evaluations will also be made whenever it is necessary or desirable to provide Organization management with information which may be pertinent to future personnel actions affecting these individuals. [ ] outlines policies concerning the requirements for: (A) submitting initial, annual, reassignment, and special reports; (B) showing the report to the employee; and (C) the appeals procedure. The Fitness Report, Form 45, is used to record evaluations. When a memorandum in lieu of Form 45 for an employee in Grade GS-14 and above is permitted by [ ] care must be taken to ensure that the basic purposes of a Fitness Report are served. It must contain the identifying information required in Section A of Form 45, a general description of the duties performed, and ONE rating, from among those defined in Section C of Form 45, to describe the employee's overall performance in his current position. It must also bear the signature of the supervisor and the reviewing official and must either be signed by the employee or contain an explanation for the absence of his signature. A memorandum in lieu of Form 45 will not be used for an Initial Report. Organization policy also includes the provision for employees to attach any comment (not necessarily in rebuttal) which they feel will contribute to the record of their job performance.

## 2. SUBMISSION

The Fitness Report will be submitted in duplicate to the Head of the Career Service concerned. The Head of the Career Service will retain one copy and will forward the original to the Office of Personnel.

## 3. INITIAL REPORT

A Fitness Report will be prepared for each Career and Reserve Employee upon his completion of 9 months of service unless a report had been prepared for some other reason within the previous 90 days. In addition to the normal review, the 9-month Fitness Report will be reviewed by the operating official concerned or his designee. These reports may be deferred for a period not to exceed 30 days beyond the end of the rating period to provide the supervisor with additional time to evaluate an employee who has been under his supervision for less than 90 days. Fitness Reports are of particular importance in the evaluation of employees during their 12-month trial period.

## 4. ANNUAL REPORT

A Fitness Report will be prepared annually for each employee, except when a Fitness Report has been made for some other purpose within 90 days prior to the due date of the annual report. An annual report may be deferred until the employee has been under the jurisdiction of the supervisor for 90 days.

## SCHEDULE FOR SUBMISSION OF ANNUAL REPORTS

GRADES	FOR PERIOD ENDING	DUE IN OFFICE OF PERSONNEL	
		FROM HEADQUARTERS	FROM FIELD
GS-1 through GS-5	31 March	30 April	31 May
GS-6 through GS-8	30 June	31 July	31 August
GS-9 through GS-11	30 September	31 October	30 November
GS-12 and GS-13	31 December	31 January	28 February
GS-14 and above	31 March	30 April	31 May

## 5. REASSIGNMENT REPORT

A supervisor will prepare a Fitness Report at the time an employee ceases to be under his supervision either as a result of the reassignment of the employee or the supervisor. When

the supervisor is reassigned and has numerous reassignment reports to prepare on employees under his supervision, he needs to complete only Sections C and E of the report except that complete Fitness Reports will be prepared for employees in their 12-month trial periods.

## SECTION A — GENERAL

The items of this section should be completed by the appropriate administrative or personnel officer.

## SECTION B — QUALIFICATIONS UPDATE

Use this section to indicate whether the employee's qualifications are updated during this reporting period, and whether they are attached.

## SECTION C — PERFORMANCE EVALUATION OF SPECIFIC DUTIES AND OVERALL PERFORMANCE IN CURRENT POSITION

### Rating Scale

The rating scale as set forth in this section in Form 45 is to be used to reflect evaluation of Specific Duties and of Overall Performance. Use a single rating letter without the addition of decimals, plus or minus signs, or other modifications. In making your selection of the adjective evaluation for Section C and in completion of the narrative in Section D the following factors should be considered as appropriate:

Cost Consciousness	Mobility
Security Consciousness	Initiative
Ability to Think Clearly	Versatility
Supervisory Effectiveness	Productivity
Acceptance of Responsibility	Decisiveness
Foreign Language Competence	Resourcefulness
Effectiveness of Oral Expression	Cooperativeness
Effectiveness of Written Expression	Records Discipline
Contribution to EEO	

### Rating of Performance of Specific Duties

In this section the supervisor will list in order of importance the most significant duties the employee has performed during the rating period. Each duty shall be described in sufficient detail to provide information which may be useful later in considering individuals for other assignments. Your evaluation should be recorded by entering the appropriate letter in the box provided for your evaluation of each duty.

### Rating of Overall Performance in Current Position

In making this rating the supervisor should, in addition to performance on all specific duties, consider the employee's conduct on the job, his productivity, working relationships and sensitivity to the principles of equal employment opportunity and advancement and his adaptability in order to arrive at a rating which will reflect an employee's overall value on the job. Although promotability may be considered in the evaluation, no specific promotion recommendations will be made on Fitness Reports. (Promotion recommendations will be made in accordance with  )

## SECTION D — NARRATIVE COMMENTS

In this section the supervisor describes the employee's demonstrated abilities or deficiencies in the performance of his present job. Except for employees in their 12-month trial period as specified below, any comments concerning potential should be confined to factors related to current work requirements and within the control of the rating or reviewing officials. Full narrative comments should be made on each appropriate element. The narrative comments may include reference to a

specific duty. Any weakness noted in a prior year's Fitness Report must be commented on in the subsequent Fitness Report. Statements such as "no change from previous report" will not be used. Any relatively high or low ratings in Section C should be explained or amplified by supporting statements. In addition, the supervisor may comment here on any extenuating circumstances which might affect the productivity and effectiveness of the employee. Comment should be made on the relative performance of the person being rated with other people known to the rater doing comparable work. Manner of performance of managerial and supervisory duties and cost consciousness in the use of personnel, space, equipment, and funds must be commented on for all employees who have responsibility for managing Agency assets. These comments must include an evaluation of the employee's performance in rating subordinates. (If the employee being rated does not have such responsibilities, a statement to that effect must be included.) In evaluating managerial and supervisory effectiveness, the following factors should be considered:

Delegation of responsibility  
Establishment and maintenance of clear lines of authority  
Use of personnel, space, equipment, funds, etc.  
Formulation and coordination of programs  
Developing teamwork

In completing the ratings on employees in their 12-month trial period, comment should be made on the intent, capability, and desire of the employee to fulfill the service obligations of the Career Service to which he is assigned. All reports for such employees, including Reassignment and Special reports, will contain specific statements concerning the employee's suitability for continued service.

## SECTION E — CERTIFICATION AND COMMENTS

Rating officers will certify on the Fitness Report that poor performance, when it occurs, has been a subject of discussion with the employee preferably before but at least at the time of the Fitness Report.

Reviewing officials are responsible for assuring that all reports made by rating officials under their jurisdiction are consistent and reflect uniform standards of reporting. Through the counseling and supervision of rating officials, reviewing officials can play a major role in improving the operating of the Fitness Report program.

In addition, reviewing officials should, as a matter of practice, provide their own evaluation by positive comment on the performance of the individual being rated. If the reviewing official is in substantial disagreement with the rating official he should discuss the evaluation with the rating official and the employee. Follow-up action on the Marginal and Unsatisfactory ratings is also a reviewing official responsibility. The person being rated may attach a memorandum containing his comments. He should in all cases, check the appropriate box on the Fitness Report indicating that he has or has not chosen to attach any comments. The memorandum will be attached to the original for inclusion in the Official Personnel Folder.

When a person departs an overseas station without having been shown his Fitness Report, it is incumbent upon the Career Service to have the report shown to the individual.

## CLASSIFICATION

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## FITNESS REPORT

## SECTION A

## GENERAL INFORMATION

1. EMPLOYEE NUMBER	2. NAME (Last, first, middle)	3. DATE OF BIRTH	4. SEX	5. GRADE	6. SD		
7. OFFICIAL POSITION TITLE		8. OFF/DIV/BR OF ASSIGNMENT	9. CURRENT STATION		10. CODE (ck one) HQS. <input type="checkbox"/> DF <input type="checkbox"/>		
11. TYPE OF APPOINTMENT			12. TYPE OF REPORT				
<input type="checkbox"/> CAREER	<input type="checkbox"/> RESERVE	<input type="checkbox"/> CONTRACT	<input type="checkbox"/> OTHER (Spec.)	<input type="checkbox"/> TEMPORARY	<input type="checkbox"/> ANNUAL	<input type="checkbox"/> REASSIGNMENT	<input type="checkbox"/> SPECIAL
13. REPORTING PERIOD (from-to-)			14. DATE REPORT DUE IN O.P.				

## SECTION B

## QUALIFICATIONS UPDATE

IF QUALIFICATIONS UPDATE FORM IS BEING SUBMITTED WITH CHANGES, AND IS ATTACHED TO THIS REPORT, PLACE THE WORD "YES" IN THE BOX TO THE RIGHT. IF NO CHANGES ARE REQUIRED, PLACE THE WORD "NO" IN THE BOX AT RIGHT.

## SECTION C

## PERFORMANCE EVALUATION

U—Unsatisfactory	Performance is unacceptable. A rating in this category requires immediate and positive remedial action. The nature of the action could range from counseling, to further training, to placing on probation, to reassignment or to separation. Describe action taken or proposed in Section D.
M—Marginal	Performance is deficient in some aspects. The reasons for assigning this rating should be stated in Section D and remedial actions taken or recommended should be described.
P—Proficient	Performance is satisfactory. Desired results are being produced in the manner expected.
S—Strong	Performance is characterized by exceptional proficiency.
O—Outstanding	Performance is so exceptional in relation to requirements of the work and in comparison to the performance of others doing similar work as to warrant special recognition.

## SPECIFIC DUTIES

List up to six of the most important specific duties performed during the rating period. Insert rating letter which best describes the manner in which employee performs EACH specific duty. Consider ONLY effectiveness in performance of that duty. All employees with supervisory responsibilities MUST be rated on their ability to supervise (indicate number of employees supervised).

SPECIFIC DUTY NO. 1	RATING LETTER
SPECIFIC DUTY NO. 2	RATING LETTER
SPECIFIC DUTY NO. 3	RATING LETTER
SPECIFIC DUTY NO. 4	RATING LETTER
SPECIFIC DUTY NO. 5	RATING LETTER
SPECIFIC DUTY NO. 6	RATING LETTER

## OVERALL PERFORMANCE IN CURRENT POSITION

Take into account everything about the employee which influences his effectiveness in his current position such as performance of specific duties, productivity, conduct on job, cooperativeness, pertinent personal traits or habits, and particular limitations or talents. Based on your knowledge of employee's overall performance during the rating period, place the letter in the rating box corresponding to the statement which most accurately reflects his level of performance.

RATING LETTER

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CLASSIFICATION

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## SECTION D

## NARRATIVE COMMENTS

Indicate significant strengths or weaknesses demonstrated in current position keeping in proper perspective their relationship to overall performance. State suggestions made for improvement of work performance. Give recommendations for training. Comment on foreign language competence, if required for current position. Amplify or explain ratings given in Section C to provide best basis for determining future personnel action. Manner of performance of managerial or supervisory duties and cost consciousness in the use of personnel, space, equipment and funds, must be commented on, if applicable. If extra space is needed to complete Section D, attach a separate sheet of paper.

## SECTION E

## CERTIFICATION AND COMMENTS

## 1. BY SUPERVISOR

MONTHS EMPLOYEE HAS BEEN UNDER MY SUPERVISION	IF THIS REPORT HAS NOT BEEN SHOWN TO EMPLOYEE, GIVE EXPLANATION	
DATE	OFFICIAL TITLE OF SUPERVISOR	TYPED OR PRINTED NAME AND SIGNATURE

## 2. BY EMPLOYEE

STATEMENT CONCERNING THIS EVALUATION OF MY PERFORMANCE		DATE	SIGNATURE OF EMPLOYEE
<input type="checkbox"/> HAVE ATTACHED	<input type="checkbox"/> HAVE NOT ATTACHED		

## 3. BY REVIEWING OFFICIAL

COMMENTS OF REVIEWING OFFICIAL

DATE	OFFICIAL TITLE OF REVIEWING OFFICIAL	TYPED OR PRINTED NAME AND SIGNATURE
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## 4. BY EMPLOYEE

I CERTIFY THAT I HAVE SEEN THE ENTIRE REPORT AND ALL SECTIONS OF THIS REPORT.

CLASSIFICATION

CONFIDENTIAL

## FITNESS REPORT - FIELD TRANSMITTAL

SPECIAL NOTE

*Fitness Reports must be prepared with due regard for security considerations. For example, in the case of administrative and support personnel and others whose duties do not in themselves reveal sources of information and methods of operation, it is normally expected that a complete and realistic statement of specific duties may be reported in Section B. However, the nature, source, purpose or disposition of information or operations will not be included. On the other hand, the description of specific duties of certain other employees may jeopardize security and should not be fully reported on this form. In these cases, general statements of specific duties will be included in Section B indicating the level of responsibility.*

INSTRUCTIONS

The following items of the Fitness Report will NOT be completed by field personnel.

SECTION A, items 2, 3, 7, and 8

SECTION D, items 1, 2, 3 and 4 (Only in respect to "Typed or Printed Name and Signature")

1. I CERTIFY THAT I HAVE SEEN THIS FITNESS REPORT	DATE	TYPED OR PRINTED NAME AND SIGNATURE OF EMPLOYEE (in pseudonym)
2. I CERTIFY THAT, EXCEPT FOR ITEMS OMITTED UNDER THE ABOVE INSTRUCTIONS, ALL ITEMS APPEARING ON THE ATTACHED FITNESS REPORT HAVE BEEN COMPLETED UNDER PROVISIONS OF CURRENT INSTRUCTIONS OR REGULATIONS.		
DATE	TYPED OR PRINTED NAME AND SIGNATURE OF SUPERVISOR (in pseudonym)	
DATE	TYPED OR PRINTED NAME AND SIGNATURE OF REVIEWING OFFICIAL (in pseudonym)	

FORM 45A OBSOLETE PREVIOUS  
9-73 EDITIONS

CONFIDENTIAL

(04-47)

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## DIRECTIONS FOR COMPLETING FORMS 45, 45k AND 45m, FITNESS REPORT

**SPECIAL NOTE: THESE FORMS DO NOT CONTAIN A PREPRINTED SECURITY CLASSIFICATION. SUPERVISOR SHALL DETERMINE CLASSIFICATION BASED ON DATA CONTAINED IN THE COMPLETED FITNESS REPORT. IF THE COMPLETED REPORT IS UNCLASSIFIED, PLEASE OBLITERATE EXEMPT MARKINGS ON THE BOTTOM RIGHT CORNER OF THE REPORT.**

### 1. POLICY

It is Organization policy to inform employees of the effectiveness of their work performance. Organization policy also requires that supervisors record at least once each year their opinions and evaluations of the work performance of employees under their jurisdiction. Evaluations will also be made whenever it is necessary or desirable to provide Organization management with information which may be pertinent to future personnel actions affecting these individuals. [ ] outlines policies concerning the requirements for (A) submitting initial 9-month, 21-month, 30-month, annual, reassignment, and special reports; (B) showing the report to the employee; and (C) the appeals procedure. The Fitness Report, Forms 45, 45k and 45m is used to record evaluations. When a memorandum in lieu of Form 45 for an employee in Grade GS-14 and above is permitted by [ ] care must be taken to ensure that the basic purposes of a Fitness Report are served. It must contain the identifying information required in Section A of Form 45, a general description of the duties performed, and ONE rating, from among those defined in Section C of Form 45, to describe the employee's overall performance in his current position. It must also bear the signature of the supervisor and the reviewing official and must either be signed by the employee or contain an explanation for the absence of his signature. A memorandum in lieu of Form 45k or Form 45m will not be used for a Career-Provisional Employee. Organization policy also includes the provision for employees to attach any comment (not necessarily in rebuttal) which they feel will contribute to the record of their job performance.

### 2. SUBMISSION

The Fitness Report will be submitted in duplicate to the Head of the Career Service concerned. The Head of the Career

Service will retain one copy and will forward the original to the Office of Personnel.

### 3. REPORTS FOR CAREER-PROVISIONAL EMPLOYEES

A Fitness Report will be prepared for each Career-Provisional Employee upon his completion of 9, 21, and 30 months of service unless a report had been prepared for some other reason within the previous 90 days. In addition to the normal review, the 9-month Fitness Report will be reviewed by the operating official concerned or his designee. These reports may be deferred for a period not to exceed 30 days beyond the end of the rating period to provide the supervisor with additional time to evaluate an employee who has been under his supervision for less than 90 days. Fitness Reports are of particular importance in the evaluation of Career-Provisional Employees during their 12-month trial period and during the remaining 24 months of their provisional period. Fitness Report forms used for Career-Provisional Employees are distinguished from forms used for other employees by their color and number:

- A. Reports prepared during the 12-month trial period—Form 45k
- B. Reports prepared during the remaining 24 months of the provisional period—Form 45m

### 4. ANNUAL REPORT

A Fitness Report will be prepared annually for each employee, except when a Fitness Report has been made for some other purpose within 90 days prior to the due date of the annual report. An annual report may be deferred until the employee has been under the jurisdiction of the supervisor for 90 days.

## SCHEDULE FOR SUBMISSION OF ANNUAL REPORTS

GRADES	FOR PERIOD ENDING	DUE IN OFFICE OF PERSONNEL	
		FROM HEADQUARTERS	FROM FIELD
GS-1 through GS-5	31 March	30 April	31 May
GS-6 through GS-8	30 June	31 July	31 August
GS-9 through GS-11	30 September	31 October	30 November
GS-12 and GS-13	31 December	31 January	28 February
GS-14 and above	31 March	30 April	31 May

### 5. REASSIGNMENT REPORT

A supervisor will prepare a Fitness Report at the time an employee ceases to be under his supervision either as a result of the reassignment of the employee or the supervisor. When the supervisor is reassigned and has numerous reassignment

reports to prepare on employees under his supervision, he needs to complete only Sections C and E of the report except for those employees in Career-Provisional status. Fitness Reports for Career-Provisional Employees will be completed fully.

## SECTION A — GENERAL

The items of this section should be completed by the appropriate administrative or personnel officer.

## SECTION B — QUALIFICATIONS UPDATE

Use this Section to indicate whether the employee's qualifications are updated during this reporting period, and whether they are attached.

## SECTION C — PERFORMANCE EVALUATION OF SPECIFIC DUTIES AND OVERALL PERFORMANCE IN CURRENT POSITION

### Rating Scale

The rating scale as set forth in this section in Forms 45, 45k, and 45m, Fitness Report, is to be used to reflect evaluation of Specific Duties and of Overall Performance. Use a single rating letter without the addition of decimals, plus or minus signs, or other modifications. In making your selection of the adjective evaluation for Section C and in completion of the narrative in Section D the following factors should be considered as appropriate:

Cost Consciousness	Mobility
Security Consciousness	Initiative
Ability to Think Clearly	Versatility
Supervisory Effectiveness	Productivity
Acceptance of Responsibility	Decisiveness
Foreign Language Competence	Resourcefulness
Effectiveness of Oral Expression	Cooperativeness
Effectiveness of Written Expression	Records Discipline
Contribution to EEO	

### Rating of Performance of Specific Duties

In this section the supervisor will list in order of importance the most significant duties the employee has performed during the rating period. Each duty shall be described in sufficient detail to provide information which may be useful later in considering individuals for other assignments. Your evaluation should be recorded by entering the appropriate letter in the box provided for your evaluation of each duty.

### Rating of Overall Performance in Current Position

In making this rating the supervisor should, in addition to performance on all specific duties, consider the employee's conduct on the job, his productivity, working relationships and sensitivity to the principles of equal employment opportunity and advancement and his adaptability in order to arrive at a rating which will reflect an employee's overall value on the job. Although promotability may be considered in the evaluation, no specific promotion recommendations will be made on Fitness Reports. (Promotion recommendations will be made in accordance with  )

## SECTION D — NARRATIVE COMMENTS

In this section the supervisor describes the employee's demonstrated abilities or deficiencies in the performance of his present job. Except for Career-Provisional Employees as specified below, any comments concerning potential should be confined to factors related to current work requirements and within the control of the rating or reviewing officials. Full narrative comments should be made on each appropriate element. The narrative comments may include reference to a specific duty. Any weakness noted in a prior year's Fitness Report must be commented on in the subsequent Fitness Report. Statements such as "no change from previous report" will

not be used. Any relatively high or low ratings in Section C should be explained or amplified by supporting statements. In addition, the supervisor may comment here on any extenuating circumstances which might affect the productivity and effectiveness of the employee. Comment should be made on the relative performance of the person being rated with other people known to the rater doing comparable work. Manner of performance of managerial and supervisory duties and cost consciousness in the use of personnel, space, equipment, and funds must be commented on for all employees who have responsibility for managing Agency assets. These comments must include an evaluation of the employee's performance in rating subordinates. (If the employee being rated does not have such responsibilities, a statement to that effect must be included.) In evaluating managerial and supervisory effectiveness, the following factors should be considered:

Delegation of responsibility  
Establishment and maintenance of clear lines of authority  
Use of personnel, space, equipment, funds, etc.  
Formulation and coordination of programs  
Developing teamwork

In completing the ratings on Career-Provisional Employees, comment should be made on the intent, capability, and desire of the employee to fulfill the service obligations of the Career Service to which he is assigned. All reports for Career-Provisional Employees, including Reassignment and Special reports, will contain specific statements concerning (1) the employee's suitability for continued service and (2) his potential for conversion to a Career Employee. The 30-month reports will be forwarded with Form 45r containing the recommendation of the Head of the employee's Career Service as to whether he should be converted to a Career Employee.

## SECTION E — CERTIFICATION AND COMMENTS

Rating officers will certify on the Fitness Report that poor performance, when it occurs, has been a subject of discussion with the employee preferably before but at least at the time of the Fitness Report.

Reviewing officials are responsible for assuring that all reports made by rating officials under their jurisdiction are consistent and reflect uniform standards of reporting. Through the counseling and supervision of rating officials, reviewing officials can play a major role in improving the operating of the Fitness Report program.

In addition, reviewing officials should, as a matter of practice, provide their own evaluation by positive comment on the performance of the individual being rated. If the reviewing official is in substantial disagreement with the rating official he should discuss the evaluation with the rating official and the employee. Follow-up action on the Marginal and Unsatisfactory ratings is also a reviewing official responsibility.

The person being rated may attach a memorandum containing his comments. He should in all cases, check the appropriate box on the Fitness Report indicating that he has or has not chosen to attach any comments. The memorandum will be attached to the original for inclusion in the Official Personnel Folder.

When a person departs an overseas station without having been shown his Fitness Report, it is incumbent upon the Career Service to have the report shown to the individual.

## DIRECTIONS FOR COMPLETING FORM 45, FITNESS REPORT

### GENERAL

#### 1. POLICY

It is Organization policy to inform employees of the effectiveness of their work performance. Organization policy also requires that supervisors record at least once each year their opinions and evaluations of the work performance of employees under their jurisdiction. Evaluations will also be made whenever it is necessary or desirable to provide Organization management with information which may be pertinent to future personnel actions affecting these individuals. Regulation [ ] outlines policies concerning the requirements for submitting initial, annual, reassignment and special reports, showing the report to the employee and appeals procedure. The Fitness Report, Form 45, is used to record evaluations. However, an evaluation in memorandum form may be substituted for Form 45 for employees in Grades GS-14 and above.

#### 2. SUBMISSION

The Fitness Report will be submitted in triplicate to the Head of the Career Service concerned. The Head of the Career Service will retain one copy and will forward the original and other copy to the Office of Personnel.

#### 3. INITIAL REPORT

A Fitness Report will be prepared for each employee as of nine months after his entrance on duty with the Organization. An initial report need not be made when a Fitness Report has already been made for some other purpose within 90 days prior to the due date of the initial report. The initial report is of particular importance in providing a record of the supervisor's evaluation of the employee before the employee has completed his twelve-month trial period. An initial report may be deferred for a period not to exceed 30 days beyond the due date to provide the supervisor with additional time to evaluate an employee who has been under his jurisdiction for less than 90 days.

#### 4. ANNUAL REPORT

A Fitness Report will be prepared annually for each employee, except when a Fitness Report has been made for some other purpose within 90 days prior to the due date of the annual report. An annual report may be deferred until the employee has been under the jurisdiction of the supervisor for 90 days.

### SCHEDULE FOR SUBMISSION OF ANNUAL REPORTS

<u>GRADES</u>	<u>FOR PERIOD ENDING</u>	<u>DUE IN OFFICE OF PERSONNEL</u>	
		<u>FROM HEADQUARTERS</u>	<u>FROM FIELD</u>
GS-1 through GS-5	31 March	30 April	31 May
GS-6 through GS-8	30 June	31 July	31 August
GS-9 through GS-11	30 September	31 October	30 November
GS-12 and GS-13	31 December	31 January	28 February
GS-14 and above	31 March	30 April	31 May

#### 5. REASSIGNMENT REPORT

A Fitness Report will be prepared whenever both the Immediate Supervisor of the employee and the Reviewing Official are changed by the reassignment of the employee. For the purpose of fitness reporting "Immediate Supervisor"

refers to the official who prepares and signs the Fitness Report of the employee concerned. When the supervisor is reassigned and has numerous reassignment reports to prepare he need complete only SECTIONS B, C, and D of the Fitness Report.

- 8 OCT 1958

Office of Personnel  
Forms Management Program

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## DIRECTIONS FOR COMPLETING FORM 45, FITNESS REPORT

### INSTRUCTIONS

#### SECTION A GENERAL

The items of this section should be completed by the appropriate administrative or personnel officer. Special instructions for completing or omitting items of this part of the report should be carefully observed on Form 45a, Field Transmittal - Fitness Report.

#### SECTION B EVALUATION OF PERFORMANCE OF SPECIFIC DUTIES

In this section the supervisor will list the most important duties the employee has performed during the rating period and will rate each duty separately. Duties should be listed in order of importance. Compare when possible the individual being rated with others performing the same duty at a similar level of responsibility. Two individuals with the same job title may be performing different functions and should be rated on different duties. Very careful consideration should be given to the listing of duties and the rating given each duty because this information is important in the evaluation of the employee for future assignments. If the job requires maintaining files, say what kind; if it requires preparing contributions to chapters of a publication, say what chapters; if it requires conducting investigations, tell what kind and for what purpose; if it requires liaison activities, tell what kind and with whom; if it requires analyzing reports or preparing reports, tell what kind, what subjects, and for what purpose. In rating employees with supervisory responsibilities, tell how many and grade level of employees supervised.

#### EXAMPLES:

- "Operates 1250 multilith press" — not "operates press."
- "Types research reports having many tables" — not "types."
- "Serves as senior supervisor for 7 important activities using knowledge of the French language" — not "senior supervisor."
- "Supervises second-line supervisors who direct economic research" — not "directs research."
- "Responsible for processing fiscal, financial, and budget reports for an operating branch of 50 people" — not "financial support."

#### SECTION C EVALUATION OF OVERALL PERFORMANCE IN CURRENT POSITION

In making this rating the supervisor should take into account the employee's conduct on the job as well as his performance on all specific job duties. Each supervisor will weight these factors in his own mind so as to arrive at a rating which will reflect an employee's overall value on the job.

#### SECTION D DESCRIPTION OF THE EMPLOYEE

In this section the supervisor considers the employee from different points of view and makes a number of close judgements about him. These judgements should be based on the characteristics demonstrated by the individual in his current position. This series of statements applies in some degree to most people, but should be checked only when such ratings assist in the description of the individual. "Writes effectively" and "Discipline in originating, maintaining and disposing of records" may not be required qualifications for the employee's current position but, if observed, they should be rated in order to help describe the employee's capabilities and potential. "Discipline in originating, maintaining and disposing of records" refers to the awareness and application of procedures involved in the creation, maintenance and disposition of written materials. This section is a good test of the supervisor's ability to observe his subordinates.

#### SECTION E NARRATIVE DESCRIPTION OF MANNER OF JOB PERFORMANCE

In this section the supervisor describes the employee's demonstrated abilities or deficiencies in the performance of his present job. Any relatively high or very low ratings in SECTIONS B, C, and D should be explained or amplified by supporting statements. In addition, the supervisor may comment here on any extenuating circumstance which affects the productivity and effectiveness of the employee.

#### SECTION F CERTIFICATION AND COMMENTS

Self-explanatory.

**SECTION A    GENERAL**

THE ITEMS OF THIS SECTION SHOULD BE COMPLETED BY THE APPROPRIATE ADMINISTRATIVE OR PERSONNEL OFFICER. SPECIAL INSTRUCTIONS FOR COMPLETING OR OMITTING ITEMS OF THIS PART OF THE REPORT SHOULD BE CAREFULLY OBSERVED WHEN PREPARING REPORTS FOR EMPLOYEES ASSIGNED OVERSEAS.

**SECTION B    EVALUATION OF PERFORMANCE OF SPECIFIC DUTIES**

IN THIS SECTION THE SUPERVISOR WILL LIST THE MOST IMPORTANT DUTIES THE EMPLOYEE HAS PERFORMED DURING THE RATING PERIOD AND WILL RATE EACH DUTY SEPARATELY. DUTIES SHOULD BE LISTED IN ORDER OF IMPORTANCE. COMPARE WHEN POSSIBLE THE INDIVIDUAL BEING RATED WITH OTHERS PERFORMING THE SAME DUTY AT A SIMILAR LEVEL OF RESPONSIBILITY. TWO INDIVIDUALS WITH THE SAME JOB TITLE MAY BE PERFORMING DIFFERENT FUNCTIONS AND SHOULD BE RATED ON DIFFERENT DUTIES. VERY CAREFUL CONSIDERATION SHOULD BE GIVEN TO THE LISTING OF DUTIES AND THE RATING GIVEN EACH DUTY BECAUSE THIS INFORMATION IS IMPORTANT IN THE EVALUATION OF THE EMPLOYEE FOR FUTURE ASSIGNMENTS. IF THE JOB REQUIRES MAINTAINING FILES, SAY WHAT KIND; IF IT REQUIRES PREPARING CONTRIBUTIONS TO HIS CHAPTERS, SAY WHAT CHAPTERS; IF IT REQUIRES INTERVIEWING JOB APPLICANTS, SAY WHAT LEVEL OR FOR WHAT KIND OF JOBS; IF IT REQUIRES CONDUCTING INVESTIGATIONS, TELL WHAT KIND AND FOR WHAT PURPOSE; IF IT REQUIRES LIAISON ACTIVITIES, TELL WHAT KIND AND WITH WHOM; IF IT REQUIRES ANALYZING REPORTS OR PREPARING REPORTS, TELL WHAT KIND, WHAT SUBJECTS, AND FOR WHAT PURPOSE.

**EXAMPLES:**

"OPERATES 1250 MULTILITH PRESS" -- NOT "OPERATES PRESS."  
"TYPES RESEARCH REPORTS HAVING MANY TABLES" -- NOT "TYPES"  
"SERVES AS SENIOR CASE OFFICER FOR 7 IMPORTANT CURRENT OPERATIONS USING KNOWLEDGE OF FRENCH AND POLISH LANGUAGES" -- NOT "SENIOR CASE OFFICER."  
"SUPERVISES SECOND-LINE SUPERVISORS WHO DIRECT ECONOMIC RESEARCH" -- NOT "DIRECTS RESEARCH."  
"RESPONSIBLE FOR PROCESSING FISCAL, FINANCIAL, AND BUDGET REPORTS FOR AN OPERATING BRANCH OF 50 PEOPLE" -- NOT "FINANCIAL SUPPORT."

**SECTION C    EVALUATING OVERALL PERFORMANCE IN CURRENT POSITION**

IN MAKING THIS RATING THE SUPERVISOR SHOULD TAKE INTO ACCOUNT THE EMPLOYEE'S CONDUCT ON THE JOB AS WELL AS HIS PERFORMANCE ON ALL SPECIFIC JOB DUTIES. EACH SUPERVISOR WILL WEIGH THESE FACTORS IN HIS OWN MIND SO AS TO ARRIVE AT A RATING WHICH WILL REFLECT AN EMPLOYEE'S VALUE ON THE JOB. IT IS QUITE POSSIBLE FOR AN INDIVIDUAL TO BE RATED HIGH ON A NUMBER OF SPECIFIC DUTIES AND YET RATED AVERAGE OR BELOW ON OVERALL PERFORMANCE BECAUSE HIS CONDUCT ON THE JOB INTERFERES WITH GETTING THE WORK DONE. CONVERSELY, A PERSON WITH RELATIVELY LOW RATINGS ON CERTAIN SPECIFIC DUTIES MAY BE RATED HIGH ON OVERALL JOB PERFORMANCE BECAUSE HIS CONDUCT ON THE JOB FACILITATES THE WORK OF THE OFFICE OR BECAUSE OF OTHER PERSONAL QUALITIES THAT HE BRINGS TO THE JOB.

**SECTION D    DESCRIPTION OF THE EMPLOYEE**

IN THIS SECTION THE SUPERVISOR CONSIDERS THE EMPLOYEE FROM A SUCCESSION OF DIFFERENT ANGLES AND MAKES A NUMBER OF CLOSE JUDGEMENTS ABOUT HIM. THESE JUDGEMENTS SHOULD BE BASED ON THE CHARACTERISTICS DEMONSTRATED BY THE INDIVIDUAL IN HIS CURRENT POSITION. THIS SERIES OF STATEMENTS APPLIES IN SOME DEGREE TO MOST PEOPLE, BUT SHOULD BE CHECKED ONLY WHEN SUCH RATINGS ASSIST IN THE DESCRIPTION OF THE INDIVIDUAL. THIS SECTION IS A GOOD TEST OF THE SUPERVISOR'S ABILITY TO OBSERVE HIS SUBORDINATES.

**SECTION E    NARRATIVE DESCRIPTION OF MANNER OF JOB PERFORMANCE**

IN THIS SECTION THE SUPERVISOR DESCRIBES THE EMPLOYEE'S DEMONSTRATED ABILITIES OR DEFICIENCIES IN THE PERFORMANCE OF HIS PRESENT JOB. ANY RELATIVELY HIGH OR VERY LOW RATINGS IN SECTIONS B, C AND D SHOULD BE JUSTIFIED BY SUPPORTING STATEMENTS. IN ADDITION, THE SUPERVISOR MAY COMMENT HERE ON ANY EXTENUATING CIRCUMSTANCE WHICH AFFECTS THE PRODUCTIVITY AND EFFECTIVENESS OF THE EMPLOYEE.

**SECTION F    CERTIFICATION -- SELF-EXPLANATORY**

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Next 7 Page(s) In Document Exempt

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## INSTRUCTIONS FOR THE PREPARATION OF FITNESS REPORTS

These instructions describe the general procedures for initiating and processing Fitness Reports in accordance with Regulation   and provide detailed instructions for the preparation of Fitness Reports.

### 1. Background

#### a. Purpose and Use of Fitness Reports

The Fitness Report provides a record of supervisors' opinions concerning the effectiveness of an employee. Its primary purpose is to report this information in a form which will make it available to officials responsible for the efficient utilization and development of the individual.

The Fitness Report is designed to report the manner in which an employee performed his specific assignment during a specified time and the supervisor's observations concerning his characteristics during that time. It should not be influenced by previous evaluations or reports concerning his performance in other assignments at other times. A single Fitness Report records a supervisory estimate of an employee's potential value to the organization based on his observations during the time covered by that report.

#### b. Relationship of Fitness Report to Day-by-Day Supervision

The observations and contacts involved in day-to-day supervision serve as the basis for the opinions recorded on the Fitness Report. The responsibility of supervisors for rendering periodic Fitness Reports must not be confused with their responsibility for day-to-day supervision and instruction of employees under their jurisdiction. Each supervisor is responsible for making a continuous effort to correct deficiencies and to stimulate improvement in employees under his jurisdiction and for making clear to them the opinion he holds concerning their work. Required corrective action should not be delayed until the preparation of a Fitness Report but should be taken when the need for it is observed. Interviews needed to let an employee know where he stands should likewise be held when needed and not postponed until the Fitness Report is rendered.

### 2. General Instructions

#### a. Rating Principles

(1) Fitness Reports are of such far reaching importance that the greatest of care must be exercised in their preparation. Close attention to these instructions and those on the form is required to ensure proper completion.

(2) Evaluations by the rater must be based on:

- (a) What the employee has been observed or known to do or fail to do.
- (b) His typical performance of duty; not on a few isolated or striking incidents.
- (c) Observation of the rated employee in the performance of duty.

(3) Conscious effort should be made throughout the rating period to observe the rated employee in terms of the elements which will be rated, in order to provide the proper factual basis for evaluation.

(4) Avoid overrating. Giving a rating higher than that merited by performance on the job is unfair not only to other employees but to the individual himself. Overrating an employee may lead to assignments for which he is not qualified.

(5) Avoid underrating. Giving a lower rating than is merited is also unfair to the rated employee. The ideal is to give ratings that are neither higher nor lower than are merited by the rated employee's actual performance.

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(6) Throughout the report, the rated employee is to be evaluated in comparison with others of similar GS level, branch, and length of service.

(7) The statements in Sections IV and VI are to be interpreted literally, in their commonly accepted dictionary meaning. These statements have been carefully selected after consulting with experienced personnel. If all raters do not interpret these statements literally, the positions of rated employees relative to other employees of the same GS level, branch and length of service will be seriously distorted.

(8) In the absence of facts on which to base ratings, no ratings should be made. The system recognizes that in some cases the specialized nature of contacts with the rated employee, or the necessary limitation of such contacts, makes adequate observation or evaluation impossible or very difficult. Thus, the "Not observed" column may be marked in some sections of the report.

(9) After completing the Fitness Report, the supervisor should review his work to ensure that he has accurately reflected his judgment of the employee. If, in this review, he finds that changes should be made in the ratings which he has given, he should make these changes before submitting the report to the Reviewing Official.

#### b. Responsibility of Reviewing Official

When the Reviewing Official receives a report containing entries which in his judgment are not warranted, whether favorable or adverse to the rated individual, he should incorporate his views in a memorandum attached to the report. However, he is not authorized to make or to require any changes in the rating supervisor's evaluations. If the reviewer feels that a supervisor consistently does a poor job in rendering Fitness Reports, he should reflect this belief in the next Fitness Report he prepares on that supervisor.

### 3. Specific Instructions

#### a. Section I, Items I through 13 (Identifying Data)

Administrative Officer: Complete all items in this section of the report. If the report is being completed at headquarters, enter the employee's name as it is listed in official records. The report is due 15 work days following expiration of the period covered by the report. The period of the report will begin in all cases with the day following the last day covered in the preceding report if there has been a previous report. It will end with the date of the occurrence which is the cause of the report.

#### b. Section II, Items 1 and 2 (Current Position, Date Assumed Responsibility)

Supervisor: Enter the official job title for the position. "Intelligence Officer" alone is not specific enough. Enter the date on which the individual was assigned to this position in 2.

#### c. Section II, Item 3 (Specific Assignments to Tasks)

Supervisor: On reports completed at headquarters, write a brief description of the tasks which are typical of those he was given during the last 3 to 6 months covered by the report. Present these in order of frequency from most often performed to least. This helps provide a picture of the kinds of assignments in which the man's performance is being rated. In the field, this section should be completed with due regard for security considerations.

#### d. Section III

Supervisor and Reviewing Official: (Note: In the field these officials will complete this section on the Field Fitness Report Transmittal Sheet.) After completion of report and all necessary memoranda and interviews, the supervisor should indicate whether or not he has shown (or will show) the report to the employee by checking the appropriate box, entering the date and his signature and transmitting the completed forms to the reviewing official. After reviewing the report and preparing any memoranda necessary, the reviewing official will enter the date and his signature and transmit the forms to the Administrative or Personnel Officer of his Operating Component, or headquarters, if in the field.

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e. Section IV, Items 1 through 50

Supervisor: The statements in this section are to be interpreted according to the commonly accepted dictionary definitions of the words used. Read each statement carefully and decide which category on the right best tells how much the statement applies to the person you are rating. Each category is subdivided into three blocks to allow the supervisor to make finer distinctions if he so desires. Place an "X" in the box which best describes the degree to which the statement applies to the person being rated. An "X" in the "Not Observed" column means you have no basis for an opinion on whether the phrase applies to the individual. Placing an "X" in the "Does Not Apply" column means that you have the definite opinion that the description is not at all suited to the individual.

The supervisor's ratings in this section are not favorable or unfavorable in themselves, but acquire their meaning in relation to a particular job or assignment.

f. Section V, A through E. (Outstanding strengths and weaknesses, supervision and training required, other comments)

Supervisor: The descriptive material in this section should be prepared after the ratings in Section IV have been completed. However, some supervisors may find it helpful first to note a few observations concerning the rated employee's performance to aid in accomplishing both the rating scales and the comments. The purpose of this section is to provide a picture, in the supervisor's own words, of the rated employee as seen by the supervisor during the period of the report. This type of narrative should be useful to officials in interpreting the report.

Items A and B should describe any outstanding strengths and weaknesses affecting the employee's ability to perform certain assignments.

Item C should contain any strength or weakness which outweighs all other considerations in utilizing this employee and indicate why this is so.

Item D should contain the supervisor's evaluation of whether or not the employee requires close supervision. If you feel that he does, give a brief statement explaining your reasons.

Item E should contain the supervisor's recommendation for further training of the employee.

Item F should contain facts not appearing elsewhere in the report which the reporting supervisor would want to know about the rated employee if he were considering him for an assignment, any special physical, mental, or personal characteristic affecting the rated employee's ability to perform assignments and all other pertinent factors not included elsewhere in the report.

(1) Emphasis should be placed upon those points in an employee's makeup which point to and illustrate his present and future value. This means that a description of some characteristics may become a part of this word picture, even though they do not at the present time affect the efficiency of the employee being rated. If they have a probable bearing upon his future efficiency, they may be made a part of this estimate. For instance, it might be said of an employee that he is intelligent, has a comprehensive knowledge of his profession, and performs his duties diligently and energetically. However, he is inclined to believe that his subordinates should be able to grasp a subject and analyze it as quickly as himself. This is an illustration of a minor deficiency that may become greater as time goes by. While it may have no direct bearing on his present efficiency, it may later be the cause of rating his leadership lower than would otherwise be the case. Then there is the employee who is intelligent but is inclined to become nervous when required to make a decision except in those cases where he can fall back on personal experience. This characteristic may entirely disappear as he gains more experience and has more knowledge to fall back on. Although this trait may affect his present efficiency, he may be potentially a better employee than his present rating would indicate.

(2) In some cases, an employee may be described in a manner that would indicate he already has acquired detrimental characteristics which seemingly cannot be improved. For instance, an employee is a slow, methodical thinker, not entirely certain of his decisions and likely to procrastinate when faced with a controversial or extraordinary problem. Being a slow, methodical thinker, it may be doubtful whether he will ever be able to reach the point where he can make quick decisions.

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(3) The faults of most persons are known to themselves. Often they will attempt to cover them by diverting the attention of the person observing them. Most supervisors are familiar with some of these types. There is the handshaker, the good fellow, the braggart, the loud talker, the one who presents every detail of his daily performance to the rating supervisor, and various other phases of this covering process. Virtues, on the other hand, may be hidden by inexperience, by circumstances involving an employee which may temporarily affect his efficiency, and by many other factors. Potentialities for improvement are usually evident, and indications of a trend in that direction can be analyzed and put into words by the reporting supervisor.

(4) Avoid trite adjectives and stereotyped phrases. For example, no word picture is provided by the following comments:

"An excellent employee, conscientious and dependable at all times. With training and experience he will give a good account of himself."

"This employee's general value to the organization is reflected in his organization which always has given a maximum of performance. His general value is superior."

These statements do not describe the employee; they merely amplify a rating given on the report form. The comments should be spontaneous and meaningful descriptions of the employee as an individual, his strong points and weak points as a personality, and not primarily a repeat evaluation of his efficiency on his present job. They should answer the question, "What things are most likely to be remembered about him as a person--things likely to explain his future failure or success?" Years later, a reading of these comments should recall to the mind of the reporting supervisor a mental picture of the employee in question.

(5) The comments about the rated employee should include the qualities, or evidences thereof, which have most strikingly impressed themselves upon the mind of the reporting supervisor as being typical of the rated employee's behavior, as well as his characteristic strengths or weaknesses.

**g. Section VI, Items A through D (overall ratings)**

**Supervisor:** The supervisor should read every description under an item before rating. After reading each description, he then decides which statement best describes the rated employee and places an "X" in the box before it. The rating principles described in Section 3, Paragraph 1, apply equally to these scales.

Item A is concerned with the skill with which the employee performed his job. After checking the most appropriate statement, decide if this employee is or is not better qualified for work in some other area and check the appropriate box. If he is better qualified in another area, name the area in the space provided. A check in item 1 will be construed to mean the employee's performance was unsatisfactory.

Item B asks for your evaluation of the individual's potentiality for promotion.

Item C requires the supervisor to assess the employee's attitude toward the organization.

Item D is a final overall evaluation of the rated employee's suitability for work in this organization. In making this rating take all you know about the person into account, weighing the information according to your judgment of its importance. It is in this rating that a supervisor can reflect explicitly his opinion of the individual's general worth to the organization. A check in item 1 will be construed to mean the employee's performance was unsatisfactory.

**h.** After making all ratings and descriptive material be sure to complete Section III and route the reports as prescribed in applicable regulations.

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Next 6 Page(s) In Document Exempt

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